PART II

Section 1

CUSTOMS PROPRIETARY COMMODITY RECORD FORMATS FOR AES

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The Data Universal Numbering System (DUNS)   is a registered trademark of The Dun & Bradstreet Corporation.

Customs Proprietary Commodity Record Format

I. AES Input Requirements

Authorized users are exporters and forwarders. Other users are carriers and consolidators having power of attorney to file export information for exporters and forwarders, and Service Centers, Data Entry Centers, and Port Authorities transmitting data on behalf of exporters, forwarders, carriers and consolidators.

These input specifications are used for the three AES options for electronic export reporting. They are as follows:

Option 2:	Full information reported in AES prior to departure.

Basic AES, operational since July 1995

Full pre-departure information (Option 2) is always required for specific types of shipments:
(1) Used vehicles (except when the Country of Destination = US or Puerto Rico);
(2) Essential and precursor chemicals for the manufacture of narcotics;
(3) Shipments defined as 'sensitive' per Executive Order: and
(4) Shipments where full export information is required prior to exportation by a federal government agency.

Option 3:	Two-step reporting (Pre-departure followed by Post-departure Filing)

Operational since September 1999

Up to 14 specific data elements reported in AES prior to departure. Full information reported in AES within 5 working days after the date of exportation.
Prior approval to report Option 3 is not required.
 Commodity data for a shipment that requires a BXA, NCR, or OFAC license **can** be transmitted as an Option 3 filing.
Commodity data for a shipment that requires a State Department license **can not** be transmitted as an Option 3 filing.
Exports of used vehicles with a Country of Destination of the United States or Puerto Rico **can** be transmitted as an Option 3 filing; however, any other used vehicles **can not** be reported as Option 3 (revert to Option 2).
Specific commodities (see Option 2) that require full pre-departure information can not be filed as Option 3.   If all the required data is available at the time of export or before, it is not necessary to file Option 3. The filer can switch and file using the one-step pre-departure Option 2.

Option 4:	No pre-departure information reported for *qualified shipments by approved exporters*.

Operational since March 1999

Full information reported in AES within 10 working days after the date of exportation.
Exporters require approval prior to electronic reporting.
 Shipments that require a license **cannot** be transmitted as Option 4.
Exports of used vehicles with a Country of Destination of the United States or Puerto Rico can be transmitted as an Option 4 filing. However, any other used vehicles can not be transmitted using Option 4.
 Specific commodities (see Option 2) that require full pre-departure information can not be filed as Option 4.

(Note: AES-PASS, operational since November 1997, expired April 2000, one year after Option 4 became operational.)

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AES APPLICATIONS

There are three basic AES applications. The Application Identifier specifies the type of data to be processed, one for input and two for output. The Application Identifier is part of the A record.

The following is the AES Application ID code for AES Commodity **Input**:

Application ID	Description
XP	Commodity data input to Customs (must be properly sequenced per example in Figure 1)

The following are the AES Application IDs code for AES **Output**:

XT	Acceptance/Rejection Message (AES returns this ID in the A record on Figure 7)
XN	Status Notifications (AES returns this ID in the A record)

CATIR STRUCTURE

A (1)			
	B (99)		
		SC1 (99)	
			SC2 (1)
			SC3 (999)
			N01 (5)
			N02 (1)
			N03 (1)
		CL1 (999)	
			CL2 (1)
			CL3 (1)
			EV1 (999)
	Y (1)		
Z (1)			

In the following figures, the status represents the requirement of the data element as follows:

 M is for mandatory

 C is for conditional

 O is for optional

 Blank is for not required.

Samples of the various record sets are included here for information as the following:

- ♦ Figure 1: Shipper's Commodity Information
- ♦ Figure 2: Changing or Deleting a Shipment
- ♦ Figure 3: Adding/Changing/Deleting Commodity Line Information
- ♦ Figure 4: Adding/Changing/Deleting Export Vehicle Information
- ♦ Figure 5: Pre-departure Option 3
- ♦ Figure 6: Multiple Transactions
- ♦ Figure 7: Shipment accepted without errors
- ♦ Figure 8: Pre-departure shipment accepted without errors
- ♦ Figure 9: Shipment accepted with Warning, Informational or Verify Messages
- ♦ Figure 10: Fatal Error Message
- ♦ Figure 11: Status Notification

Figure 1 shows the proper sequence of an AES Option 2, Post-departure Option 3, or Option 4 transaction with one exporter involved, one shipment, one commodity (CL1 record), and one vehicle (EV1 record).

Figure 1:   AES Record Set for Shipper's Commodity Information

Record	Description	Status
A	Transaction Control Header	M
B	Block Control Header	M
SC1	Shipper's Commodity Information	M (1)
SC2	Additional Shipper's Commodity Information	M
SC3	Additional Shipper's Commodity Information	C
N01	Party Profile Information	M
N02	Party Profile Information	C
N03	Party Profile Information	C
CL1	Commodity Line Item Description	M
CL2	Commodity Line Item Description	C (2)
CL3	Commodity Marks and Numbers	O
EV1	Export Vehicle Information	C
Y	Block Control Trailer	M
Z	Transaction Control Trailer	M

NOTES:

1. For Option 2 shipments, set the Filing Option Indicator to **Blank**

   For Option 3 shipment, set the Filing Option Indicator to **3**.

   For Option 4 shipments, set the Filing Option Indicator to **4**.

Otherwise Option 2, Post-departure Option 3, and Option 4 record sets are the same.

 2. *The EV1 record cannot be filed when reporting exports of used vehicles to countries other than Puerto Rico or the United States under filing Option 3 and 4. Option 3 and Option 4 filers must revert to Option 2 or paper Option 1 when exporting used vehicles to any other country.*
 (Trade between the US and PR is considered domestic and does not require vehicle information 72 hours prior to export, unlike used vehicle(s) exported to other countries.)

Customs Proprietary Commodity Record Format

Figure 2 shows the proper sequence of an AES Option 2, Post-departure Option 3, or Option 4 transaction when the filer is changing or deleting an existing AES shipment.

 The SC1 record must contain the Shipment Reference Number of the shipment being changed or deleted from AES. The original Filing Option Indicator reported on a record must be retained when submitting a change to the record.

The SC3 record is required if the MOT is 10, 11, or 12 in the SC1 record.

The N records are not required when changing or deleting.

Figure 2: AES Record Set for Changing/Deleting a Shipment

Record	Description	Status
A	Transaction Control Header	M
B	Block Control Header	M
SC1	Shipper's Commodity Information	M *(the correction flag set to C or D)*
SC2	Additional Shipper's Commodity Information	M
Y	Block Control Trailer	M
Z	Transaction Control Trailer	M

Figure 3 shows the proper sequence of an AES Option 2, Post-departure Option 3, or Option 4 transaction when the filer is adding, changing or deleting commodity line information on an existing AES shipment.

The SC1 record must contain the Shipment Reference Number of the shipment being changed. The original Filing Option Indicator on a record must be retained when submitting a change to the record.

The CL1 record must contain the Line Number of the commodity line being added, changed or deleted.

Figure 3: AES Record Set for Adding/Changing/Deleting Commodity Line Information

Record	Description	Status
A	Transaction Control Header	M
B	Block Control Header	M
SC1	Shipper's Commodity Information	M *(the correction flag set to C)*
SC2	Additional Shipper's Commodity Information	M
CL1	Commodity Line Item Description	M *(the line correction flag set to A, C or D)*
CL2	Commodity Line Item Description	M
Y	Block Control Trailer	M
Z	Transaction Control Trailer	M

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Figure 4 shows the proper sequence of an AES Option 2, Post-departure Option 3 or Option 4 (only when the Country of Destination = Puerto Rico or US) transaction when the filer is adding, changing or deleting a used vehicle on an existing AES shipment.

The SC1 record must contain the Shipment Reference Number of the shipment being changed.
==The original Filing Option Indicator reported on a record must be retained when submitting a change to the record.==

The CL1 record must contain the Line Number of the commodity being changed.

The EV1 must contain the VIN of the vehicle being added, changed or deleted.

Figure 4: AES Record Set for Adding/Changing/Deleting Export Vehicle Information		
Record	Description	Status
A	Transaction Control Header	M
B	Block Control Header	M
SC1	Shipper's Commodity Information	M *(the correction flag set to C)*
SC2	Additional Shipper's Commodity Information	M
CL1	Commodity Line Item Description	M *(the line correction flag set to C)*
CL2	Commodity Line Item Description	M
EV1	Export Vehicle Information	M *(the line vehicle correction flag set to A, C or D)*
Y	Block Control Trailer	M
Z	Transaction Control Trailer	M

Figure 5 shows the proper sequence of a Pre-departure Option 3 record with one exporter and one shipment involved.

The Filing Option Indicator on the SC1 record must be set to '**3**' when reporting Pre-departure Option 3.

The Correction Flag should be set to P, Q, or R dependant on the action to be taken.

Figure 5: Pre-departure Option 3 Sample Record Set		
Record	Description	Status
A	Transaction Control Header	M
B	Block Control Header	M
SC1	Shipper's Commodity Information	M
SC3	Additional Shipper's Commodity Information	C
N01	Party Profile Information	M
CL1	Commodity Line Item Description	M
CL2	Commodity Line Item Description	M
Y	Block Control Header	M
Z	Transaction Control Trailer	M

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Figure 6 show the proper sequence to be followed when multiple record sets are reported.

AES filers may send multiple B-Y sets within one A-Z set. (Maximum=99)

Multiple SC1 and SC2 records may be sent under one B-Y set. (Maximum=99)

Multiple CL1, CL2 and CL3 records may be sent under one SC1 record. (Maximum=999)

Multiple EV1 records can be sent under one CL1 record. (Maximum=999)

Figure 6: This transaction shows a forwarder reporting for one exporter (B-Y record set) exporting two shipments (SC1, SC2 record sets) containing two commodities (CL1, CL2 records) to one Consignee. One of the commodities contains two used vehicles (EV1 records).

A	Transaction Control Header	
B	Block Control Header - *Identifies the single exporter*	
SC1	Shipper's Commodity Information - *Identifies the first shipment*	
SC2	Additional Shipper's Commodity Information	
SC3	Additional Shipper's Commodity Information - *if MOT is 10, 11, or 12*	
N01-N03	Party Profile Information - *Creates exporter profile*	
N01-N03	Party Profile Information - *Creates forwarder or DEC profile*	
N01-N03	Party Profile Information - *Creates consignee profile*	
CL1	Commodity Line Item Description - *Identifies the first commodity*	
CL2	Commodity Line Item Description	
EV1	Export Vehicle Information - *Identifies the first used vehicle*	
EV1	Export Vehicle Information - *Identifies the second used vehicle*	
CL1	Commodity Line Item Description - *Identifies the second commodity*	
CL2	Commodity Line Item Description	
SC1	Shipper's Commodity Information - *Identifies the second shipment*	
SC2	Additional Shipper's Commodity Information	
SC3	Additional Shipper's Commodity Information - *if MOT is 10, 11, or 12*	
N01-N03	Party Profile Information - *Creates exporter profile.*	
N01-N03	Party Profile Information - *Creates forwarder or DEC profile*	
N01-N03	Party Profile Information - *Creates consignee profile.*	
CL1	Commodity Line Item Description - *Identifies the first commodity*	
CL2	Commodity Line Item Description	
CL1	Commodity Line Item Description - *Identifies the second commodity*	
CL2	Commodity Line Item Description	
Y	Block Control Trailer	
Z	Transaction Control Trailer	

II.   Reading the Customs AES Proprietary Commodity Records

Title of record (A) RECORD*						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note

*An alphanumeric code will commonly be used for each of the record sets. For example, the Transaction Control Header record is commonly called the A record, the Block Control Header record is commonly called the B record.

Data Element: The data element is the field name on the record.

Length/ Class: The required length of the field/ class refers to **A**-Alphabetic, **AN**-Alphanumeric (contains numbers and letters), **N**-Numeric (numbers only)

.

Filler fields must be space filled.

Mandatory, optional or conditional numeric fields must be zero filled when no value is present.   When there is a value present, right justified the field.

Alphanumeric fields must be left justified if the length of the field is greater than the data reported.

Position: The position of the field on an 80-position flat file format. For example, the Application Identifier in the A record must be in positions 22 and 23 of an 80 position line.

AES Status: For AES Option 2, Post-departure Option 3, or Option 4 filers, this identifies whether the Data Element is **M** = mandatory, **C** = conditional, **O** = optional or **Blank** = not required. (When AES Option 2, Post-departure Option 3, Option 4 Status differ, the status will have a '/' to separate them (Example: C/O). The description will give the reason for the difference.)
The conditions for a Data Element with a Conditional status are explained on Pages 1-29 and 1-30 of this section. As an example, on the CL1 and CL2 records, there is a number of data elements conditional upon which Export Information Code is reported. Filers should read the notes and pages 1-29 and 1-30 carefully to understand these complex situations.

**Pre-departure
AES Option 3
Status**   For Pre-departure Option 3, the filer must transmit the up to 14 required data elements pre-departure (See page 28). This identifies whether the Data Element is **M** for mandatory, **C** for conditional, **O** for optional or **Blank** for not required

.

Description: Defines the data element. May give acceptable values. May point filer to a reference to assist in reporting the data element.

Note: Directs the filer to the bottom of the page or following page(s) for notes on the data element, length/ class, status, and description.

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Record A is mandatory for AES Option 2, Option 3,or Option 4 Filers. This record signifies the beginning of the transmission. Report one Header and one Trailer per transmission.

TRANSACTION CONTROL HEADER (A) RECORD						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	1AN	1	M	M	Must always equal A	
Filler	4AN	2 – 5	M	M	Space Fill	
Filer ID	9N	6 – 14	M	M	Provide the DUNS, SSN or EIN of the company filing the information	1
Communication Password	6AN	15 – 20	M	M	Password for communication set-up	
Filer ID Type	1A	21	M	M	Type of Filer ID reported above: **D**=DUNS **S**=SSN **E**=EIN	
Application Identifier	2A	22 – 23	M	M	Identifies the transmission type: **XP** = Exporter Data Input **XT** = Output from Customs **XN** = Transaction Status	
Current Date	8N	24 – 31	M	M	YYYYMMDD format	
Batch Control Number	6N	32 – 37	O	O	Batch control to identify the transmission sequence	2
FUTURE USE Authorized Agent	1A	38	O	O	Indicator supplied if the filer is authorized agent for the exporter: **Y** = Yes **N** = No	
Transmitter ID	9N	39 - 47	M	M	ID Number of party transmitting the data. This may be the same Filer reported as Filer ID (exporter, forwarder or Data Entry Center) OR it can be a third party service center or data entry center or port authority.	
Internal Use Only	1	48			This field is used to measure the performance of AES.	
Internal Use Only	10	49 – 58			This field is used to measure the performance of AES.	
Filler	22AN	59 – 80	M	M	Space Fill	

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1) The Party Filing the information must be the EXPORTER, FORWARDER OR DATA ENTRY CENTER (DEC).
2) When provided on the A record, the Batch Control Number must be repeated on the Z record exactly as it appears here.

Record B is mandatory for AES Option 2, Option 3, and Option 4. This record is used to send the Exporter Profile Information.

The B record can be repeated 99 time within each A-Z record set.

BLOCK CONTROL HEADER (B) RECORD						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	1AN	1	M	M	Must always equal B	
Filler	2AN	2 – 3	M	M	Space fill. (For future use)	
Exporter ID Number	11AN	4 – 14	M	M	Provide the DUNS, SSN, EIN or Foreign Entity Code of the exporter	3 4 5 6
Exporter ID Type	1A	15	M	M	Type of Exporter ID reported above: **D** = DUNS **S** = SSN **E** = EIN **T** = Foreign Entity	
Exporter IRS Number	9AN	16 – 24	C	C	Required when establishing a new exporter profile. Required if the Exporter ID Number is not an EIN or SSN.	
IRS Number Type	1A	25	C	C	Required if Exporter IRS Number is reported in positions 16 – 24. **E** = EIN **S** = SSN	
Exporter Name	30AN	26 – 55	C	C	Required when establishing a new exporter profile	
Filler	25AN	56 – 80	M	M	Space fill.	

3) Only the Exporter ID Number and Exporter ID Type (positions 4 –14; 15) are required once the exporter profile has been successfully established in a previous transmission.
4) *For Option 4 approved exporters, the exporter's profile must be set up by the Census Bureau prior to the first transmission.*
5) Positions 13 and 14 of the Exporter ID Number are used to signify the location of the exporter. If these two positions are not needed, the filer must enter 00 in positions 13 and 14. When the Exporter ID Type is D, S or E, positions 4 – 12 must be numeric but positions 13 and 14 can be alphanumeric.
6) If the Exporter ID Type equals T for Foreign Entity, all positions can be alphanumeric. If the number is less than 11 positions, left justify and zero fill. If more than 11 positions, truncate the excess. The number reported here must be an identification number appearing on an official document such as a border crossing card number, a passport number, an alien registration card number or an embassy code. (Embassy Code is composed of the two-position ISO code of the country followed by the word 'embassy')

Customs Proprietary Commodity Record Format
Record SC1 is mandatory for AES Option 2, Option 3 and Option 4. This record is used to report detailed information.
The SC1record can be repeated 99 times within each B-Y record set.

SHIPPER'S COMMODITY INFORMATION (SC1) RECORD					
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	M	M	Must always equal SC1	
Related Company Indicator Code	1N	4	M		A code indicating whether either the US exporter or the foreign ultimate consignee owned, during the fiscal year, 10% or more of the other's voting securities (if an incorporated business enterprise) or an equivalent interest (if an unincorporated business enterprise) including a branch. Valid codes are: **1** = Related **2** = Non-related	
Mode of Transportation (MOT)	2N	5 – 6	M	M	The mode of transportation by which the merchandise is exported. Valid MOT codes are listed in Appendix T.	
Country of Ultimate Destination	2A	7 – 8	M	M	ISO code representing the country that the merchandise is to be consumed, manufactured or further processed at the time of shipment. Valid ISO codes are listed in Appendix C.	
State/ Province Code	2A	9 – 10	M		Two-digit USPS Code of the state, territory, possession of the US in which the goods actually begins its journey to the port of export.	
SCAC / IATA (Carrier ID)	4AN	11 – 14	C	C	Report the SCAC for vessel, rail or truck shipments OR the IATA for air shipments of the exporting carrier. (MOTs 10,11,12,20,21,30,31,40,41) If the ultimate carrier is unknown, report the consolidator's SCAC /IATA	7 8
Shipment Reference Number	17AN	15 – 31	M	M	The unique identifier of the shipment. Left justify; no trailing zeroes.	

7) SCAC = Standard Carrier Alpha Code
   IATA = International Air Transport Association
8) If utilizing a Mexican trucking company without a SCAC, use code *M or 99M (Unknown Mexican trucking carrier). If utilizing an air carrier without an IATA, use *F or 99F (unknown foreign air carrier); *U or 99U (unknown US air carrier); *C or 99C (unknown Canadian air Carrier); ** or 99O (flyaway aircraft, HS 8802)

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Correction Flag	1A	32	O	M	Indicator used when adding, changing or deleting an AES shipment.
					        Default(**Blank**) <mark>or **A**</mark> = ADD
					  C = Change **D** = Delete
					For Pre-departure Option 3 ONLY
					  P = *ADD* **Q** = *Change* **R** = *Delete*	

Conveyance Name	23AN	33 – 55	C		For MOT = 10, 11 or 12: the name of the vessel. For MOT = 20,21,30,31,40,41: the name of the carrier.	
Vessel Flag	2A	56 – 57	O		The ISO code for the country under whose flag the vessel is registered (MOT = 10, 11 or 12)	
Port of Unlading	5AN	58 – 62	C		Schedule K, foreign port code, required for MOT = 10, 11 or 12. *For vessel and air shipments between Puerto Rico and the US use the 4 position Schedule D port code. Left justify*	9
Port of Exportation	4N	63 – 66	M	M	Schedule D code designating port from which merchandise is last laded for vessel and air. For land borders report the actual border crossing port.	
Estimated Date of Export/Arrival	8N	67 – 74	M	M	Use YYYYMMDD format. Estimated date of departure from the US port of export. *Use this as date of arrival for shipments from the US to Puerto Rico.*	
Future Use Waiver of Prior Notice Indicator	1A	75	O		Used to indicate whether or not Drawback claimant received a waiver of prior notice for exported merchandise. Default(**Blank**) = NO **Y** = Yes	
Hazmat Indicator	1A	76	M	M	Used to indicate whether or not the shipment contains hazardous material. **Y** = Yes **N** = No	

Filing Option Indicator	1AN	77	M	M	Indicates which filing option is being used. **Blank** = Option 2
					                3 = Option 3
					                4 = Option 4	

Filler	3AN	78 – 80	M	M	Space fill.	

9) The Maritime Administration (MarAD), Department of Transportation, has responsibility for maintaining Schedule K. The MarAD web site address is: http://marad.dot.gov/statistics/
If you are unable to locate a foreign port code in the Schedule K file, have questions about a foreign port name or wish to request a printed version of Schedule K, please contact the Office of Statistical & Economic Analysis, MarAD, at (202)493-0376 or via the Internet at: http://DATA@marad.dot.gov

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The SC2 record is mandatory for AES Option 2, Option 3 and Option 4 filers.
 The SC2 record occurs once for each SC1 record.

ADDITIONAL SHIPPER'S COMMODITY INFORMATION (SC2) RECORD						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	M	M	Must always equal SC2	
In Bond Code	2AN	4 – 5	C		Default = 70 (Not In Bond) Reporting other In Bond codes is for information use only at this time, since AES does not close out the In Bond movement(Future enhancement)	10
Entry Number	15AN	6 – 20	C		If an In Bond code is provided, the In Bond entry number must be provided. Left justify (no trailing zeroes, no slashes or dashes).	
Foreign Trade Zone	5AN	21 – 25	O		Foreign trade zone code. Left justify this field (no trailing zeroes)	
AES Generated ITN	15AN	26 – 40			AES generated Internal Transaction Number	11
Filler	40AN	41 – 80	M	M	Space fill.	

10) AES is not capable of closing out In Bond shipments at this time (future enhancement).   The default of '70' should be reported here.
        Report In Bond codes for INFORMATIONAL USE ONLY.
         Valid In Bond codes: **36**=Warehouse withdrawal for IE, **37**=Warehouse withdrawal for T & E, **62**=T & E, **63**=IE, **67**=IE from a Foreign Trade Zone (FTZ), **68**=T & E from a Foreign Trade Zone (FTZ)
**11) The AES Internal Transaction Number (ITN) is generated by AES after AES has accepted the shipment from the filer. *An ITN will not be generated for a shipment that contains a fatal error.*
The ITN is only sent in the output transaction.**

Record SC3 is conditional based on Mode of Transportation.   For AES Option 2, Option 3 and Option 4 filers reporting export shipments made by sea (MOT = 10, 11 or 12), the SC3 record is <u>mandatory</u>. The SC3 record is used to report Container Number and/or Booking Number information.
A maximum of 999 SC3 records are permitted for each SC1 record.

ADDITIONAL SHIPPER'S COMMODITY INFORMATION (SC3) RECORD						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	C	C	Must always equal SC3	
Equipment Number	14AN	4 – 17	C / O		Equipment Number is conditional for MOT = 21, 31, 41 (Rail, Truck or Air) Equipment Number is optional for MOT = 10, 11 or 12) because the Booking Number is mandatory.	
Seal Number	15AN	18 – 32	O		Seal Number of the Container	
Transportation Reference Number	30AN	33 – 62	C	C	For shipments made by sea, the transportation reference number is the **Booking Number.** This Booking Number is <u>mandatory</u> when the MOT = 10, 11 or 12.	
Filler	18AN	63 – 80	C	C	Space fill.	

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Record N01 is mandatory for AES Option 2, Option 3 or Option 4 filers. A separate N01 record is transmitted for each Party Type being reported in position 16. The N01 record is mandatory for a Party Type transmitting for the first time. Party ID, Party ID Type and Party Type are the only fields required once the Party Profile has been established in a previous transmission. The N01 record may be repeated five times within each SC1 record.

PARTY PROFILE INFORMATION (N01) RECORD

Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	M	M	Must always equal N01	
Party ID	11AN	4 – 14	C	C	Provide the DUNS, SSN or EIN of the Exporter Foreign Entity Forwarder Data Entry Center (DEC) (Party ID and Party ID Type are not required when reporting Consignee or Intermediate Consignee)	12 13 * 14
Party ID Type	1A	15	C	C	Type of Party ID reported above. **D** = DUNS **S** = SSN **E** = EIN **T** = Foreign Entity **X** = DEC	13*
Party Type	1A	16	M	M	Type of Party reported above: **E** = Exporter **F** = Forwarding Agent **D** = DEC **C** = Consignee **I** = Intermediate Consignee	13 *
Party Name	30AN	17 – 46	C	C	Company Name, required if Party is being established for the first time OR no Party ID is on file in AES. For Consignee without a Party ID, this field is <u>mandatory</u>.	13*
Contact First Name	13A	47 – 59	O	O	Required for Exporter, Forwarder or DEC only. Contact's first name/ title. (May be added to the Contact Last Name field for less burden.)	13*
Contact Last Name	20A	60 – 79	C	C	Required for Exporter, Forwarder or DEC only. Contact's last name or department name.	13*
Contact Middle Initial	1A	80	O	O	Contact's middle initial Required for Exporter, Forwarder or DEC only.	13*

12) Data Entry Center can only be used by those companies that have a signed agreement to participate as a DEC.
13) * If the Forwarder differs from the Filer ID reported on the A record, then these fields are <u>mandatory</u>. If the Exporter or DEC profile is being transmitted for the first time, then these fields are <u>mandatory.</u> The Intermediate Consignee is conditional.
14) Positions 13 and 14 at the end of the Party ID are to signify the location of the party. If these positions are not needed, the filer must enter 00 in positions 13 and 14. If the *Party ID Type* is D, S or E, then only these last two positions can be alphanumeric. However, if the *Party ID Type* is T then all positions can be alphanumeric.

Record N02 is conditional for AES Option 2, Option 3 or Option 4 filers.

Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
PARTY PROFILE INFORMATION (N02) RECORD						
Data Identifier	3AN	1 – 3	C	C	Must always equal N02	
Address Line 1	32AN	4 – 35	C	C	Mailing address line 1, required for ALL parties if Party is being established for the first time OR no Party ID is on file in AES.	15
Address Line 2	32AN	36 – 67	O	O	Additional Address Line 2	
Contact Phone Number	11AN	68 – 78	C	C	Required for Exporter, Forwarder or DEC only. For 1-800 or 1-888, etc. numbers provide 11 digits without spaces or dashes. For other numbers, provide 10 digits without spaces or dashes and left justify.	16
Consignee Correction Flag	1AN	79	C	C	Indicator used when changing the consignee for shipment originally reported as 'Sold En Route' **C** = Change Default =Blank (Change is the only action allowed at this time)	
Filler	1AN	80	C	C	Space fill.	

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15) These fields are <u>mandatory</u> when the Exporter, Forwarding Agent, or DEC profile is being transmitted for the first time.
16) Contact Phone Number becomes a <u>mandatory</u> field when the Party Type equals E, F or D in the N01 record (position 16, N01) *and* the profile is being transmitted for the first time.

Customs Proprietary Commodity Record Format

Record N02 is conditional for AES Option 2, Option 3, or Option 4 filers.

This record is <u>mandatory</u> if the Exporter, Forwarding Agent or DEC Profile is being transmitted for the first time.

PARTY PROFILE INFORMATION (N03) RECORD

Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	C	C	Must always equal N03	
City	25AN	4 – 28	C	C	Mailing city required for all Parties if Party is being established for the first time OR not Party ID is on file in AES.	17*
State	20AN	29 – 48	C	C	Two-digit USPS Code of the state, territory, possession of the US where the exporter, forwarder or DEC resides. Foreign Entity report state of temporary residence at the time of export. Report Mexican State Codes for forwarders or consignees residing in Mexico. Report Canadian province code of forwarder residing in Canada. If the exporter resides in Puerto Rico report PR as the state code and US as the country. If the exporter resides in the Virgin Islands, report VI as the state code and US as the country.	17* 18
Country	2AN	49 – 50	C	C	ISO country code (See Appendix C) Exporter Country must be US.	17*
Postal Code	9AN	51 – 59	C	C	Zip Code required for exporter, forwarder and DEC only.	17*
Filler	21AN	60 – 80	C	C	Space fill.	

17) These fields are mandatory if the Exporter, Forwarding Agent or DEC is being transmitted for the first time.

18) Valid Mexican State Codes are listed below:

AG	Aguascalientes	DF	Distrito	MO	Morelos	SI	Sinaloa
BC	Baja California	DG	Durango	NA	Nayarit	So	Sonora
BS	Baja California Sur	GT	Guanajuanto	NL	Nuevo Leon	TB	Tabasco
CM	Campeche	GR	Guerrero	OA	Oaxaca	TM	Tamaulipas
CS	Chiapas	HG	Hidalgo	PU	Puebla	TL	Tlaxcala
CH	Chihuahua	JA	Jalisco	QT	Queretaro	VE	Veracruz
CO	Coahuila	MX	Mexico	QR	Quintana Roo	YU	Yucatan
CL	Colima	MI	Michoacan	SL	San Luis Potosi	ZA	Zacatecas

Customs Proprietary Commodity Record Format

Record CL1 is mandatory for AES Option 2, Option 3, or Option 4 filers.

The CL1 record may be repeated a maximum of 999 times within each SC1 record set.

Commodity Line Item Description (CL1) Record						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	M	M	Must always equal CL1	19
Export Information Code	2A	4 – 5	M		Listed in **Appendix E**, the export information code defines the <u>type of export</u>, such as household or personal effects. This code determines the amount of commodity information to be reported in the following fields.	20
Line Number	5N	6 – 10	C	C	The line number of the item. Line number is <u>mandatory</u> for Option 3 filings. If Pre-departure Option 3 shipment involves a license number, then the line number reported in Pre-departure and Post-departure Opt 3 for that license number must be the same.	20
Commodity Description	45AN	11 – 55	C	C	A commercial description of the commodity for each line item in the shipment. For Pre-departure Option 3, this field is mandatory when a commodity description is reported in lieu of the HS/Schedule B number.	20
Filler	11AN	56 – 66	M	M	Space fill.	
Line Correction Flag	1A	67	C	C	Indicator used when adding, changing or deleting a commodity line item: Default (**Blank**) or **A** = Add **C** = Change **D** = Delete	
Filler	13AN	68 – 80	M	M	Space fill.	

19) The CL1 record is mandatory when a filer is adding, changing or deleting a commodity. However, the CL1 record is not mandatory if the filer is deleting an entire shipment.

20) The Line Number and Commodity Description are conditional depending on the Export Information Code reported. No shipment information is require when the Export Information Code is one of the following: LV, SS, MS, GS, DP, HR, UG, IC, SC OR DD

(See APPENDIX E for definition of Export Information Codes)

Customs Proprietary Commodity Record Format

The CL2 record is <u>mandatory</u> for Pre-departure Option 3. The CL2 record is conditional for Option 2, Post-departure Option 3, or Option 4 filers. If the Export Information Code in the CL1 record requires complete or limited data, the CL2 record is <u>mandatory.</u> If the Export Information Code in the CL1 record indicates that no shipment data is required, the CL2 record is not required. However, if a CL3 record is sent you must send a CL2 record.   See **Appendix E** for a definition of the <u>Export Information Codes.</u> See **Appendix F** for a list of <u>License Codes</u> with their definitions.

COMMODITY LINE ITEM (CL2) RECORD

Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	C	M	Must always equal CL2	21
HS/Schedule B Number	10AN	4 – 13	C	C	The code located in the Harmonized Tariff Schedule or Schedule B that represents the commodity. For Pre-departure Opt 3, the commodity description may be reported in Record CL1 in lieu of the HS/Schedule B number.	22
Unit of Measure 1	3AN	14 – 16	C		A code indicating the first unit of measure that correlates to the HS/Schedule B number.	22
Quantity 1	10N	17 – 26	C		A value representing the total number of units as specified by the Unit of Measure 1. If Unit of Measure 1 is "X", zero-fill this field. No Commas and whole numbers only.	22
Value of Goods	10N	27 – 36	C		Shipment value in US dollars. No commas or dollar signs and round up to next whole dollar.	21
Unit of Measure 2	3AN	37 – 39	C		A code indicating the second unit of measure that correlates to the HS/Schedule B number.	22
Quantity 2	10N	40 – 49	C		A value representing the total number of units as specified by the Unit of Measure 2. No commas; whole numbers only. If no quantity 2 is required zero-fill this field.	22

21) When the CL2 record is required the following <u>fields are mandatory</u>**: Record Identifier, Value, Shipping Weight and License code.**

22) When the Export Information Code requires complete shipment information (LC, TP, IP, IR, CH, FS or OS), the following <u>fields are mandatory</u>: **HS/Schedule B Number, Units of Measure 1 and 2, Quantities 1 and 2, and the Foreign/Domestic Code.**

CL2 Record Continued…						
Shipping Weight	10N	50 – 59	C		The gross shipping weight in **kilograms**, including the weight of containers but excluding carrier equipment. (LBS x .4536 = KGS) This field is **mandatory** when the MOT = sea, air, truck or rail (10, 11, 12, 20, 21, 30, 31, 40 or 41) Zero-fill other MOTs	21
License Code	3AN	60 – 62	C	M	License Code designating the type of license, permit, license exemption or no license required.	21
Export Control Classification Number	5AN	63 – 67	C		Bureau of Export Administration (BXA) Export Control Classification Number (ECCN)	
Foreign/ Domestic Code	1A	68	C		A code indicating whether the shipment is of foreign or domestic origin. Valid Codes are: **D** = Domestic **F** = Foreign	22
Export License Number/ CFR Citation	12AN	69 – 80	C	C	License number assigned by the licensing agency or Code of Federal Regulations (CFR) citation. Left justify and leave unused positions blank.	

CL3 record is Optional for AES Option 2, Post-departure Option 3, and Option 4 filers. Pre-departure Option 3 filers do not report this record.

One CL3 record permitted for each CL1 record.

COMMODITY MARKS AND NUMBERS (CL3) RECORD						
Data Elements	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	O		Must always equal CL3	
Marks and Numbers	70AN	4 – 73	O		Marks and Numbers	23
Filler	7AN	74 – 80	O		Space fill.	

23) When taking the AES Certification Test in this format, please report the certification test question number in the Marks and Numbers field.

Customs Proprietary Commodity Record Format

EVI record is conditional for Option 2, Post-departure Option 3 or Option 4 (only with Country of Destination Puerto Rico or US) filers. Option 3 and Option 4 filers must revert to Option 2 filing when reporting exports of used vehicles other than Country of Destination equal to Puerto Rico or the US.

Transmit the EV1 record for each Used Vehicle reported in the CL2 record.
The EV1 record may be repeated a maximum of 999 times.

EXPORT VEHICLE INFORMATION (EV1) RECORD

Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	C	C	Must always equal EV1	
Vehicle Identification Number/ Product ID	25 AN	4 – 28	C	C	Provide VIN Number for used self-propelled vehicles and Product ID Number when self-propelled vehicles do not have VIN. The VIN reported in this field must be in the proper format.	
Vehicle ID Qualifier	1A	29	C	C	Valid codes: **V** = VIN **P** = Product ID	
Vehicle Title Number	15AN	30 – 44	C	C	Vehicle title number issued by the Motor Vehicle Administration (MVA)	
Vehicle Title State	2A	45 – 46	C	C	Two-digit USPS Code of the state or territory of the US of the vehicle title.	
Vehicle Correction Flag	1A	47	O	O	Default (**Blank**) or **A** = Add a Vehicle **D** = Delete a Vehicle **C** = Change a Vehicle	
Filler	33AN	48 – 80	C	C	Space fill.	

Customs Proprietary Commodity Record Format

Record Y is mandatory for AES Option2, Option 3 and Option 4 filers. This record signifies the end of the exporter's shipments

BLOCK CONTROL TRAILER (Y) RECORD

Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	1AN	1	M	M	Must always equal Y	
Filler	2AN	2 – 3	M	M	Space fill. (for future use)	
Exporter ID Number	11AN	4 – 14	M	M	Provide the DUNS, SSN, EIN or Foreign Entity Number of the exporter.	24
Exporter ID Type	1A	15	M	M	Type of Exporter ID reported above: **D** = Duns **S** = SSN **E** = EIN **T** = Foreign Entity	25
Number of Shipments	5N	16 – 20	M	M	Number of shipments transmitted in this batch.	
Filler	60AN	21 – 80	M	M	Space fill.	

24) The two positions at the end of the Exporter ID Number are to signify the location of the exporter. If these two positions are not needed, the filer must enter 00 as the suffix. The Exporter ID Number must be the same Exporter ID Number entered in the Block Control Header (B) Record.

25) If the Exporter ID Type is T (for foreign entity), the number reported here must be contained on an official document such as a border crossing card number, a passport number, an alien registration or an embassy code. (Embassy Code = 2-position ISO country code plus the word 'Embassy').

If the Exporter ID Type is T, then all the positions are alphanumeric. If, however, the Exporter ID Type is D, S or E, then only the 10th and 11th positions are alphanumeric. If less than 11 positions, left justify and zero fill. If more than 11 positions, truncate.

Customs Proprietary Commodity Record Format

Record Z is mandatory for AES Option 2, Option 3 and Option 4 filers. This record signifies the end of the transmission.

TRANSACTION CONTROL TRAILER (Z) RECORD						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	1AN	1	M	M	Must always equal Z	
Filler	4AN	2 – 5	M	M	Space fill. (For future use)	
Filer ID	9N	6 – 14	M	M	Provide the DUNS, SSN or EIN of the company filing the information. (exporter or forwarder)	
Application Identifier	2A	15 – 16	M	M	Identifies the transmission type: **XP** = Exporter Data Input **XT** = Output from Customs **XN** = Transaction Status	
Current Date	8N	17 – 24	M	M	YYYYMMDD Format	
Batch Control Number	6N	25 – 30	O	O	Batch control to identify the transmission sequence	26
Filler	18AN	31 – 48	M	M	Space fill.	
Internal Use Only	10	49 – 58			This field is used to measure the performance of AES.	
Filler	22AN	59 – 80	M	M	Space fill.	

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26) When provided, the batch control number on the Z record must be reported exactly as it reads on the A record.

III. Output from Customs - AES

There are three basic AES applications. The Application Identifier specifies the type of data to be processed. One for input and two for output. The Application Identifier is part of the A record.

The following is the AES Application ID code for AES Commodity **Input**:

Application
ID	Description
XP	Commodity data input to Customs (must be properly sequenced per example in Figure 1)

The following are the AES Application IDs code for AES **Output:**

XT	Acceptance/Rejection Message (AES returns this ID in the A record on Figure 7)
XN	Status Notifications (AES returns this ID in the A record)

Figure 7 shows a typical acceptance message without errors generated by Customs.

Figure 7: Sample Shipment Acceptance Message without Errors

Record	Description
A	Transaction Control Header
B	Block Control Header
SC1	Shipper's Commodity Information Record
SC2	Additional Shipper's Commodity Information Record with ITN generated
ES1	Shipment Accepted Message Record (997)
Y	Block Trailer Record
Z	Transaction Trailer Record

Figure 8 shows a typical acceptance message for a Pre-departure Option 3 shipment without errors generated by Customs.

Figure 8: Sample record set for a Pre-departure Option 3 shipment acceptance without errors message

Record	Description
A	Transaction Control Header
B	Block Control Header
SC1	Shipper's Commodity Information Record
SC2	Additional Shipper's Commodity Information
ES1	Shipment Accepted Message Record
Y	Block Trailer Record
Z	Transaction Trailer Record

Customs Proprietary Commodity Record Format

Figure 9 shows a typical acceptance message with warning messages generated by Customs.

Figure 9: Sample Shipment Accepted Message with Warning, Informational or Verify Messages	
Record Description	
A	Transaction Control Header
B	Block Control Header
SC1	Shipper's Commodity Information Record
SC1 thru EV1	Record in Error
ES1	Error Message Record (001 - 853)
SC2	Additional Shipper's Commodity Information Record with ITN generated
ES1	Shipment Accepted with Warnings Message Record (995-997)
Y	Block Trailer Record
Z	Transaction Trailer Record

Figure 10 shows a typical Rejection Message with Fatal Errors.
An ITN is **NOT** generated by Customs in the SC2 record when a FATAL error is found in a shipment or transmission.

Figure 10: Sample Fatal Error Message from Customs	
Record	Description
A	Transaction Control Header
B	Block Control Header
SC1	Shipper's Commodity Information Record
SC1 thru EV1	Record in Error
ES1	Error Message Record (001 - 853)
ES1	Fatal Error Message Record (990 - 993)
Y	Block Trailer Record
Z	Transaction Trailer Record

Figure 11 shows a typical status notification message generated by Customs, such as a four-day reminder notice that alerts the filer of outstanding warning messages.

 The error messages that notify filers of important requirements can be found in Appendix A Common Error Messages, to the document.

Figure 11: Sample Status Notification from Customs	
Record	Description
A	Transaction Control Header
B	Block Control Header
SC1	Shipper's Commodity Information Record
ES1	Notification
Y	Block Trailer Record
Z	Transaction Trailer Record

Customs Proprietary Commodity Record Format

Record ES1 is used to transmit a response message to AES Option 2, Option 3 or Option 4 filers, such as acceptance messages or rejection messages with errors.

This record will also be sent to remind filers of their reporting requirements or to alert them to delinquent error messages. The error messages are explained in Appendix A, Common Error Messages, of this document.

ACCEPTANCE/REJECTION AND STATUS NOTIFICATION (ES1) RECORD						
Data Element	Length / Class	Position	AES Status	Pre-departure Option 3 Status	Description	Note
Data Identifier	3AN	1 – 3	M	M	Must always equal ES1	
Message Code	4AN	4 – 7	M	M	Message code from Appendix A	
Narrative Message	70AN	8 – 77	M	M	Narrative message from Appendix A	
Filler	3AN	78 – 80	M	M	Space fill.	

IV. CONDITIONS FOR AES DATA ELEMENTS

DATA ELEMENTS REQUIRED WHEN FILING PRE-DEPARTURE OPTION 3

Record	Description
A	Forwarding Agent ID
B	Exporter ID
SC1	Method of Transportation Code
	Country of Ultimate Destination
	Carrier ID (SCAC/IATA)
	Shipment Reference Number
	Intended U. S. Port of Export
	Estimated Date of Export
	Hazmat Indicator
SC3	Transportation Reference Number
N01	Name of Ultimate Consignee
CL1	Commodity Description

<div align="center">**OR**</div>

Record	Description
CL2	Schedule B/HS Number
CL2	License Code
	Export License Number
Y	
Z	

Customs Proprietary Commodity Record Format

Data elements identified as *C* for *Conditional* in the AES Status or Pre-departure Option 3 Status columns on the record formats are only required when certain conditions are meet as follows:

Block Control Header (B) Record

Exporter IRS Number, IRS Number Type, Exporter Name are <u>mandatory</u> when the Exporter ID Number for the shipment being transmitted is not on file in AES.

Exporter IRS Number, IRS Number Type, Exporter Name are <u>optional</u> when the Exporter ID Number for the shipment being transmitted is already established in AES.

Shipper's Commodity Information (SC1) Record

SCAC / IATA is conditional dependent on the Method of Transportation as follows:

For shipments by vessel, rail or truck (MOT = 10, 11, 12, 20, 21, 30, 31) the SCAC is <u>mandatory.</u>

For shipments by air (MOT = 40 or 41) the IATA (2 or 3 position code) is <u>mandatory</u>.

The SCAC/IATA is not required for other MOTs.

Conveyance Name is conditional dependent on the Method of Transportation as follows:

The name of the vessel is required for shipments by MOT = 10, 11 or 12.

The name of the railroad, trucking, or airlines is required for shipments by MOT = 20, 21, 30, 31, 40, or 41.   Please note: 'Rail', 'Truck', 'Airplane', 'Footbridge' are NOT valid conveyance names.

Conveyance name is not required for other MOTs.

Port of Unlading is conditional dependent on the Method of Transportation as follows:

For shipments by sea (MOT = 10, 11 or 12) the 5-digit Schedule K foreign port is <u>mandatory.</u>

For sea or air shipments (MOT = 10, 11, 12, 40, or 41) between Puerto Rico and the United States, the 4-digit Schedule D code, left justified, is <u>mandatory</u>.

Additional Shipper's Commodity Information (SC2) Record

In Bond Codes reported here are for informational purposes only at this time. AES is not capable of closing out the in bond movement. The DEFAULT = 70 (not in bond).

Valid In Bond codes are: 36=Warehouse withdrawal for IE, 37=Warehouse withdrawal for T & E, 62=T & E, 63=IE, 67=IE from a Foreign Trade Zone, 68=T & E from a Foreign Trade Zone These codes may be reported for informational purposes only.

Entry Number is <u>mandatory</u> when the In Bond code reported is 36, 37, 62, 63, 67,68.

Additional Shipper's Commodity Information (SC3) Record

Transportation Reference Number is <u>mandatory</u> when the Method of Transportation is sea (MOT = 10, 11, 12). For shipments made by sea, the Transportation Reference Number is the Booking Number.

Party Profile Information (N01) Record

Party ID and Party ID Type are <u>mandatory</u> when the Party Type is reported as E, F or D.

Party Name is <u>mandatory</u> when the Party ID reported is not on file in AES. Once the Party ID has been established in AES, the Party Name becomes <u>optional</u> for that party.

Contact Last Name is <u>mandatory</u> when the Party Type reported is E, F or D. When the Party ID reported is not on file in AES, the Contact Last Name is <u>mandatory</u>.

Party Profile Information (N02) Record

Address Line 1 is <u>mandatory</u> when the Party ID reported is not on file in AES. Once the Party ID is on file in AES, the N02 record for that party is no longer necessary.

Contact Phone is <u>mandatory</u> when the Party ID reported is not on file in AES and the Party Type is E, F or D. Once the Party ID is on file in AES, the N02 record for that party is no longer necessary.

Party Profile Information (N03) Record

City and Country are <u>mandatory</u> when the Party ID reported is not on file in AES.

State is <u>mandatory</u> when the Party ID reported is not on file in AES and the Party Type reported is E, F or D. When the Party Type reported is I or C and the Country reported is MX for Mexico, then the State is <u>mandatory</u>.

Postal Code is <u>mandatory</u> when the Party Type reported is E, F or D and the Party ID reported is not on file in AES.

Commodity Line Item Description (CL1) Record

Line Number and Commodity Description is <u>mandatory</u> except for those Export Information Codes that indicate No shipment information is required (LV, SS, MS, GS, DP, HR, UG, IC, SC or DD).

Commodity Line Item (CL2) Record

The CL2 record is mandatory except for those Export Information Codes that indicate NO shipment information is required (LV,SS, MS,GS,DP,HR,UG,IC,SC or DD).

Export Vehicle Information (EV1) Record

The EV1 Record with *Data Identifier, Vehicle Identification Number (VIN), Vehicle ID Qualifier, Vehicle Title, and State are* <u>mandatory</u> *when the vehicle(s) reported in the CL1 and CL2 record are used vehicles. When the Vehicle Qualifier P is reported, only the Product ID (PIN) is* <u>mandatory</u>.